



APPLICATION FOR RECORDS RETENTION SCHEDULE

Georgia Department of Labor
Employment Security Agency
Administrative Services Division
Records Management and Controls

INSTRUCTIONS: The Records Management Officer of the Agency's Records Management and Controls Unit will be of assistance in completing this form. After Division Director/Designee has signed the form, forward original to Administrative Services Division, Records Management and Controls, 130 Memorial Drive, S. W., Atlanta, Georgia 30303. Attention: Records Management Officer

FOR AGENCY USE		FOR RECORDS MANAGEMENT USE	
Application Date	1. Agency Address Work Incentive Program Georgia State Employment Service 501 Pulliam St., S.W. Atlanta, GA 30312	Application Number 82-40	
Application Number		Date Received FEB 12 1982	Date Completed FEB 17 1982
2. Person to Contact Kathleen Morris		Working Title State WIN Coordinator	Telephone Number 656-3098
3. Action Requested a. <input checked="" type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input type="checkbox"/> Amend Application No. _____ Check One: <input type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void			
4. Dates of Series Earliest Latest 1975 1982	5. Records Series Title (followed by title used in office, if different) Work Incentive Program Registrants' Files (ESA-614B)		
6. Division and Office Function What is the function of the Division and the Office in which this record series is created? Employment Service Division - To provide jobs Work Incentive Program provides support services, employment, training, counseling, etc. to those individuals drawing aid to families with Dependent children.			
7. Record Series Description This file contains the following documents (include form numbers and titles, if any): Attach samples of the file. Documents relating to: 614B's are records of participants' history in the WIN program, including services received, activities of employment and training, counseling records. Included are: ESA- 147 - Payment Forms 1636 - AP/DOC Communication Form 1632 - Registration Form 496 - SAU/DOL MA 5-97 - Reporting Form 596 - Certification Record Any correspondence pertaining to client. File is arranged: Alphabetical for Active and Inactive files.			
8. Monthly Reference Rate How often are records referred to which are: One to six months old <u>10</u> ; Seven to twelve months old <u>1</u> ; Thirteen to twenty-four months old <u>1</u> ; twenty-five months and older <u>1</u> ?			
9. Annual Rate of Accumulation of Records Letter-size drawers <u>2</u> ; Legal-size drawers _____ ; Shelves _____ ; Other (specify) _____ accumulation of 75-100 cf from 24 offices closed as of January 29, 1982			

(Over)

ESA-144 (3/80)
(AR-50-71)

YES	NO	10. Questionnaire (Place an "X" in the proper column)
X		a. Is this the official copy of the series? If not, where is it?
X		b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
	X	c. Is this a vital record?
	X	d. Does this series have historical or long term research value?
	X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
	X	f. Is the information contained in this series ever published? If yes, attach copy.
	X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
	X	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
	X	i. Is this series (or a major portion of it) regularly microfilmed?
	X	j. Does the record series result in a computer printout?

11. Retention Requirements

The following requires the series to be kept:

- | | | | |
|--------------------------|--------------|-----------------------------------|--------------|
| a. State Law | _____ years. | d. Audit period | _____ years. |
| b. Statute of limitation | _____ years. | e. Administrative need | _____ years. |
| c. Federal Law | 3 years. | f. Federal retention instructions | _____ years. |

Attach copy or excerpt of laws or regulations. Explain administrative need.

Records and accounts of expenditures for WIN payments to each registrant must be retained for at least 3 years from the date of submission of the final expenditure report or from the date of submission of the annual expenditure report for payments under a grant or contract, whichever is earlier. These records shall be (Contd. #12)

12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☒ Fiscal Year; ☐ Other _____ then.

☐ Hold in the current files area _____ month(s) _____ year(s); then

☐ Transfer to local holding area; hold _____ year(s); then

☐ Transfer to State Records Center; hold _____ year(s); then

☐ Destroy.

☐ Transfer to State Archives for permanent retention.

☒ Other (Specify) Retain active until de-registered; then transfer to State Records Center, retain 3 years or until all federal audit questions are resolved; then destroy.

(Contd. from #11)

retained beyond the 3-year period of audit findings have not been resolved or if there is: (1) an unresolved request for payment under the Act; (2) an appeal or request for review of a decision affecting eligibility for WIN payments; or (3) an open overpayment case and/or investigation. The records for such registrants shall be retained for 3 years after final action.

(Feb. 1, 1982 all WIN registrants will be deregistered.)

These instructions apply to all prior and future accumulations of the series.

Division Director/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>Howard Weeks</i>	1-27-82	<i>William B. Johnson</i>	1-28-82
ESA Director (Signature)	Date	State Records Committee (Signature)	Date
<i>Robert Brown</i>		<i>W. V. Johnson</i>	2-3-82
State Auditor/Designee		Secretary of State/Designee	
		<i>Canell Hart</i>	2-15-82
Attorney General/Designee			2-17-82

Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)

(Reverse Side)